

PATENT  
030633.0010

SECT 702

#3

Upon reasonable basis and information and belief, I hereby certify, to the best of my knowledge, that this correspondence, including any papers, letters, or fees referred to as being attached, enclosed, or otherwise affixed herewith, is being deposited with the United States Postal Service on the date set forth below with sufficient postage as First Class Mail in an envelope addressed to Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231.

Name of Person Depositing Correspondence: JOHN H. D'ANTICO

Signature of Person Depositing Correspondence: John H. D'Antico

Date of Deposit: 5/4/01

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application: 09/767,422  
Date of Deposit: January 19, 2001  
PTO Filing Date: January 22, 2001  
Title: System and Method for Conducting Electronic Commerce  
Applicants: Schroeder et al.  
Group Art Unit: 2164  
Examiner: To Be Assigned  
Attorney Docket: 030633.0010

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### SUBMISSION OF MISSING PARTS AND RELATED APPLICATION PAPERS

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BOX MISSING PARTS  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

1. **Documents Enclosed:**

In response to the **NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION FILED UNDER 37 CFR 1.53(b)**, which was mailed by the U.S. Patent and Trademark Office on March 7, 2001, please find the following enclosed:

☒ A copy of the Notice to File Missing Parts of Nonprovisional Application filed under 37 CFR 1.53(b);

☒ Fee Transmittal Sheet;

- ☒ Declaration of Inventorship;
- ☒ Assignment;
- ☒ Verified Statement Claiming Small Entity Status under 37 CFR 1.9(d) and 1.27(c);
- ☒ Grant of Power of Attorney;
- ☐ Preliminary Amendment; and
- ☒ One Return Receipt Postcard.

2. **Request For Extension Of Time:**

The proceedings herein are for a patent application and the provisions of 37 CFR 1.136 apply.

- ☐ Applicant(s) petitions for an extension of time under 37 CFR § 1.136 [fees: 37 CFR § 1.17(a)(1)-(5)] for the total number of months checked below:

EXTENSION (months)	FEE FOR SMALL ENTITY	FEE FOR OTHER THAN SMALL ENTITY
<input type="checkbox"/> one month	\$ 55	\$ 110
<input type="checkbox"/> two month	\$ 195	\$ 390
<input type="checkbox"/> three month	\$ 445	\$ 890
<input type="checkbox"/> four month	\$ 695	\$ 1,390
<input type="checkbox"/> five month	\$ 945	\$ 1,890

3. **Filing Fees:**

<b>BASIC FILING FEE:</b>			\$ 710
Total Claims	30 - 20 = 10 x \$ 18		\$ 180
Independent Claims	4 - 3 = 1 x \$ 80		\$ 80
Multiple Dependent Claims	\$ 270 (if applicable)	<input type="checkbox"/>	\$ 0
Surcharge 37 CFR § 1.16(e)	\$ 130 (if applicable)	<input checked="" type="checkbox"/>	\$ 130
<b>TOTAL OF ABOVE CALCULATIONS:</b>			\$ 1100
Reduction by ½ for Filing by Small Entity (if applicable)		<input checked="" type="checkbox"/>	\$ 550
Note: Verified Statement must be attached; see 37 CFR §§ 1.9, 1.27, 1.28.			
Extension of Time (from above) (if applicable)		<input type="checkbox"/>	\$ 0
Assignment	\$ 40 (if applicable)	<input checked="" type="checkbox"/>	\$ 40
<b>TOTAL FEES SUBMITTED HERewith:</b>			\$ 590

4. **Method of Payment of Fees:**

- ☒ A check in the total amount of \$ 590 is enclosed to cover the above fees.  
☐ Charge Deposit Account No. 50 – 1273 in the amount of \$ 0.  
☒ The Commissioner is authorized to charge Counsel's Deposit Account No. 50 – 1273 for any fees required under 37 CFR 1.16, 1.17 and 1.445 that are not covered, in whole or in part, by the check enclosed herewith, and to credit any overpayments to said Deposit Account 50 – 1273.

Respectfully submitted,

BROBECK, PHLEGER & HARRISON LLP

Dated: 5/4/01

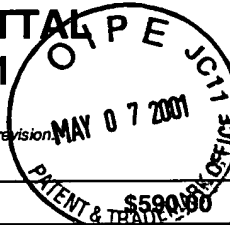
By: John H. D'Antico  
John H. D'Antico  
Reg. No. 45,917

**BROBECK, PHLEGER & HARRISON LLP**  
4801 Plaza on the Lake  
Austin, TX 78701  
Telephone: (512) 330-4000  
Facsimile: (512) 330-4001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	09/767,422
Date of Deposit	January 19, 2001
PTO Filing Date	January 22, 2001
First Named Inventor	Schroeder
Examiner Name	To Be Assigned
Group Art Unit	2164
Attorney Docket No.	030633.0010

**TOTAL AMOUNT OF PAYMENT****METHOD OF PAYMENT**

- 1 ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number  
  
Deposit  
Account  
Name

50-1273

Brobeck, Phleger &amp; Harrison LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ **Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Code	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** **\$355.00****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
30	-20** = 10	9	90
4	-3** = 1	40	40

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Code	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** **\$130.00**

\*\*Or number previously paid, if greater: For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Code	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
*Reduced by Basic Filing Fee Paid					
<b>SUBTOTAL (3)</b>					<b>\$105.00</b>

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	John H. D'Antico	Registration No. (Attorney/Agent)	45,917	Telephone	(512) 330-4000
Signature	<i>John H. D'Antico</i>			Date	5/4/01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/767,422	01/22/2001	Jonathan E. Schroeder	030633.0010

CONFIRMATION NO. 9547

## FORMALITIES LETTER



\*OC000000005836534\*

John H. D' Antico  
Brobeck, Phleger & Harrison LLP  
4801 Plaza on the Lake  
Austin, TX 78746

Date Mailed: 03/07/2001

05/09/2001 HABB11

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01 FC:201  
02 FC:202  
03 FC:203  
04 FC:205

355.00 OP  
40.00 OP  
90.00 OP  
65.00 OP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$130.
  - \$90 for 10 total claims over 20.
  - \$40 for 1 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 550.

A copy of this notice **MUST** be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/09/2001 HABB11 00000018 09767422  
01 FC:201 355.00 OP  
02 FC:202 40.00 OP  
03 FC:203 90.00 OP  
04 FC:205 65.00 OP